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| FGRM PTO-1390 (Modified) U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE<br>(REV. 11-2000)   |  | ATTORNEY'S DOCKET NUMBER<br><b>56-04</b>                        |
| <b>TRANSMITTAL LETTER TO THE UNITED STATES</b><br><b>DESIGNATED/ELECTED OFFICE (DO/EO/US)</b><br><b>CONCERNING A FILING UNDER 35 U.S.C. 371</b>  |  | U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR)<br><b>10/500793</b> |
| INTERNATIONAL APPLICATION NO.<br><b>PCT/AU03/00015</b>   | INTERNATIONAL FILING DATE<br><b>8 January 2003</b> | PRIORITY DATE CLAIMED<br><b>8 January 2002</b>                  |
| TITLE OF INVENTION<br><b>Complexing resins and method for preparation thereof</b>  |  |   |
| APPLICANT(S) FOR DO/EO/US<br><b>Robert James ELDRIDGE, Marck NORRET, Thomas W. DAHLKE, Mathew John BALLARD, and Beryn John ADAMS</b>   |  |   |
| Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:  |  |   |
| <ol style="list-style-type: none"> <li>1. <input checked="" type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a filing under 35 U.S.C. 371.</li> <li>2. <input type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a filing under 35 U.S.C. 371.</li> <li>3. <input type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (24) indicated below.</li> <li>4. <input type="checkbox"/> The US has been elected by the expiration of 19 months from the priority date (Article 31).</li> <li>5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371 (c) (2))           <ol style="list-style-type: none"> <li>a. <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau).</li> <li>b. <input checked="" type="checkbox"/> has been communicated by the International Bureau.</li> <li>c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).</li> </ol> </li> <li>6. <input type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).           <ol style="list-style-type: none"> <li>a. <input type="checkbox"/> is attached hereto.</li> <li>b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4).</li> </ol> </li> <li>7. <input checked="" type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))           <ol style="list-style-type: none"> <li>a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau).</li> <li>b. <input type="checkbox"/> have been communicated by the International Bureau.</li> <li>c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</li> <li>d. <input checked="" type="checkbox"/> have not been made and will not be made.</li> </ol> </li> <li>8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).</li> <li>9. <input type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).</li> <li>10. <input type="checkbox"/> An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).</li> <li>11. <input checked="" type="checkbox"/> A copy of the International Preliminary Examination Report (PCT/IPEA/409).</li> <li>12. <input type="checkbox"/> A copy of the International Search Report (PCT/ISA/210).</li> </ol> <p><b>Items 13 to 20 below concern document(s) or information included:</b></p> <ol style="list-style-type: none"> <li>13. <input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.</li> <li>14. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.</li> <li>15. <input checked="" type="checkbox"/> A <b>FIRST</b> preliminary amendment.</li> <li>16. <input type="checkbox"/> A <b>SECOND</b> or <b>SUBSEQUENT</b> preliminary amendment.</li> <li>17. <input type="checkbox"/> A substitute specification.</li> <li>18. <input type="checkbox"/> A change of power of attorney and/or address letter.</li> <li>19. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.</li> <li>20. <input type="checkbox"/> A second copy of the published international application under 35 U.S.C. 154(d)(4).</li> <li>21. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).</li> <li>22. <input checked="" type="checkbox"/> Certificate of Mailing by Express Mail</li> <li>23. <input type="checkbox"/> Other items or information:</li> </ol> |  |   |

|                                       |  |  |  |  |  |
|---------------------------------------|--|--|--|--|--|
| U.S. APPLICATION NO. <b>10/300793</b> |  | INTERNATIONAL APPLICATION NO.<br><b>PCT/AU03/00015</b> |  | ATTORNEY'S DOCKET NUMBER<br><b>56-04</b> |  |
|---------------------------------------|--|--|--|--|--|

  

24. The following fees are submitted:

**BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)) :**

☒ Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO ..... **\$1060.00**

☐ International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO ..... **\$900.00**

☐ International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... **\$750.00**

☐ International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) ..... **\$720.00**

☐ International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) ..... **\$100.00**

**ENTER APPROPRIATE BASIC FEE AMOUNT =**

Surcharge of **\$130.00** for furnishing the oath or declaration later than ☐ 20 ☒ 30 months from the earliest claimed priority date (37 CFR 1.492 (e)).

| CLAIMS   | NUMBER FILED | NUMBER EXTRA | RATE      | FEE                    |    |
|--|--------------|--------------|-----------|------------------------|----|
| Total claims   | 21 - 20 =    | 1            | x \$18.00 | <b>\$18.00</b>         |    |
| Independent claims   | 2 - 3 =      | 0            | x \$84.00 | <b>\$0.00</b>          |    |
| Multiple Dependent Claims (check if applicable) <input type="checkbox"/>   |              |              |           | <b>\$0.00</b>          |    |
| <b>TOTAL OF ABOVE CALCULATIONS =</b>   |              |              |           | <b>\$1,208.00</b>      |    |
| <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.   |              |              |           | <b>\$0.00</b>          |    |
| <b>SUBTOTAL =</b>  |              |              |           | <b>\$1,208.00</b>      |    |
| Processing fee of <b>\$130.00</b> for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492 (f)). |              |              |           | <b>\$0.00</b>          |    |
| <b>TOTAL NATIONAL FEE =</b>  |              |              |           | <b>\$1,208.00</b>      |    |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable) <input type="checkbox"/>                |              |              |           | <b>\$0.00</b>          |    |
| <b>TOTAL FEES ENCLOSED =</b>   |              |              |           | <b>\$1,208.00</b>      |    |
|  |              |              |           | Amount to be: refunded | \$ |
|  |              |              |           | charged                | \$ |

**CALCULATIONS PTO USE ONLY**

  

a. ☒ A check in the amount of **\$1,208.00** to cover the above fees is enclosed.

b. ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \_\_\_\_\_ to cover the above fees. A duplicate copy of this sheet is enclosed.

c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. **07-1969** A duplicate copy of this sheet is enclosed.

d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card information should not be included on this form.** Provide credit card information and authorization on PTO-2038.

  

**NOTE:** Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

**SEND ALL CORRESPONDENCE TO:**

**GREENLEE, WINNER and SULLIVAN, P.C.**  
**5370 Manhattan Circle, Suite 201**  
**Boulder, CO 80303**  
**Phone (303) 499-8080**  
**Fax (303) 499-8089**  
**ks: 7/6/04**

*Ellen P. Winner*

SIGNATURE

**ELLEN P. WINNER**

NAME

**28,547**

REGISTRATION NUMBER

*July 6, 2004*

DATE

**CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)**

Applicant(s): Eldridge et al.

Docket No.  
**107500793**  
56-04

Serial No.

Filing Date

6 July 2004

Examiner

Group Art Unit

Invention: **Complexing Resins and Method for Preparation Thereof**

I hereby certify that the following correspondence:

**371 Transmittal Letter, Preliminary Amendment, International Preliminary Examination Report and check in the amount of \$1208**

*(Identify type of correspondence)*

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, ~~Washington, D.C. 20231~~ **Alexandria VA 22313** on

**6 July 2004**

*(Date)*

**Kay Speaker**

*(Typed or Printed Name of Person Mailing Correspondence)*

*Kay Speaker*  
*(Signature of Person Mailing Correspondence)*

**EV 539 737 532 US**

*("Express Mail" Mailing Label Number)*

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